

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Steven M.H. WALLMAN

Serial No.: 10/627,626

Filed: July 28, 2003

For: METHOD AND APPARATUS FOR  
ENABLING INDIVIDUAL OR  
SMALLER INVESTORS OR OTHERS TO  
CREATE AND MANAGE A  
PORTFOLIO OF SECURITIES . . .

Examiner: Mr. Daniel Lawson Greene

Art Unit: 3694

Confirmation No.: 4309

**PRELIMINARY AMENDMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Prior to examination of the above-referenced application, please amend the application as follows:

**Amendments to the Claims** begins on page 2.

**Remarks** begin on page 6.